



ILLINOIS COMMERCE COMMISSION
SECTION 5-117 SUPPLIER DIVERSITY REPORT FOR
NEWLY IMPACTED ENTITIES
FORM

2018 Report

1. Name of Entity: ***ENGIE Resources LLC***
2. Business Address: ***1990 Post Oak Blvd., Suite 1900, Houston, TX 77056***
3. Business Address in Illinois (if different):

Registered Agent: Capitol Corporate Services, Inc.
1315 W. Lawrence Avenue
Springfield, IL 62704
4. Person Responsible for Preparation of Report / Title: ***Marsha Griffin, Sr Paralegal***
5. Type of Entity (check as many as apply):

☐ Distribution

☐ Generation:

☐ Nuclear ☐ Hydroelectric ☐ Solar ☐ Wind ☐ Other

☒ Alternative Supplier:

☒ Natural Gas ☒ Electricity

☐ Other - please describe:
6. Please identify the person at your entity that an Illinois minority-owned business (MBE), business owned by women (WBE), business owned by veterans (VBE), business owned by persons with disabilities (DBE) or small business (SBE) that wants to do business with your entity should contact.

J.D. Burrows, VP-Marketing
1990 Post Oak Blvd., Suite 1900
Houston, TX 77056
Tel: (713) 636-1390
Fax: (713) 636-1601
Email: jd.burrows@engie.com

7. In calendar year 2017, did your entity satisfy the applicable revenue criteria below?
- ☒ Yes ☒ No
- For an alternative retail, municipal or electrical cooperative electric supplier, sales or delivery of 500,000 or more kwh = **Yes**.
 - For an alternative gas supplier or natural gas cooperative, sales or delivery of 500,000 or more dekatherms = **No. *ENGIE Resources was only granted its natural gas license certificate on 03/21/2018.***
 - For any other commercial energy supplier, sales or delivery of 500,000 or more kwh = ***Not Applicable.***
8. In calendar 2017, did your entity track spending with, contracting with or procurement from MBEs, WBEs, VBEs, DBEs and/or SBEs? ☒ Yes ☐ No
- If you checked “no,” describe the actions you can take to respond to the reporting requirements of Section 5-117 of the Public Utilities Act next year. (Note: 2018 reports will be due April 15, 2019).

IF YOUR ANSWER TO EITHER QUESTION 7 OR 8 IS “NO”, YOU MAY STOP HERE; OTHERWISE, PROCEED TO QUESTION 9

9. Total calendar year 2017 spending / total value of contracts with / total procurement from minority-owned businesses (MBEs), businesses owned by women (WBEs) businesses owned by veterans (VBEs), businesses owned by persons with disabilities (DBEs) and/or small businesses (SBEs):
- (a) \$1,250,533.74 Percentage of total: .00359%
- (b) Illinois totals (if tracked) = ***Not Tracked***
\$.00 Percentage of total: %
10. If your entity tracks spending by type of business, please complete the table below:

| | | |
|-----------------------|----------------------|---------------------|
| | <u>Entity Totals</u> | |
| Vendor Classification | Spending | Percentage of Total |
| MinorityBEs | | |
| Women-OwnedBEs | \$677,157.00 | .049% |
| VeteranBEs | | |
| DisadvantagedBEs | \$ 25,000.00 | .0002% |
| Small&HUBBEs | \$882,868.00 | .064% |
| | | |

| | Illinois Totals, if tracked | |
|-----------------------|-----------------------------|---------------------|
| Vendor Classification | Spending | Percentage of Total |
| MBEs | | |
| WBEs | | |
| VBEs | | |
| DBEs | | |
| SBEs | | |

- If you do not have Illinois-specific information, please state why: ***Have never had reason to before.***
11. Please state whether your entity has a plan to increase its contracting with, or procurement from, MBEs, WBEs, VBEs, DBEs and SBEs during the coming year:
☐ Yes ☒ No
 12. If you answered “yes” to Question 11, please describe your entity’s plan.
 13. Please state whether your entity has goals for contracting with, or procurement from, MBEs, WBEs, VBEs, DBEs and SBEs: ☒ Yes ☐ No
 14. If you answered “yes” to Question 13, please describe your entity’s plan, if any, to increase those procurement goals. ***Please see ENGIE Resources’ Small Business Administration’s Plan attached hereto as Exhibit 1.***
 15. Please attach any rules, regulations, and definitions your entity uses to meet those procurement goals. ***See Exhibit 1 attached hereto.***
 16. Please identify any areas of procurement or contracting in which your entity will actively seek more participation by MBEs, WBEs, VBEs, DBEs and SBEs. ***See Exhibit 1 attached hereto.***
 17. Please describe any plan your entity has to encourage MBEs, WBEs, VBEs, DBEs and SBEs to submit bids or proposals in those areas. ***See Exhibit 1 attached hereto.***
 18. Has your entity faced challenges in finding qualified MBEs, WBEs, VBEs, DBEs or SBEs to submit bids or proposals? ***No.***
 19. Please identify any suggestions your entity has regarding what the Illinois Commerce Commission can do to help you identify qualified MBEs, WBEs, VBEs, DBEs or SBEs. ***See Exhibit 1 attached hereto.***
 20. Please identify any certifications of MBE, WBE, VBE, DBE or SBE status that your entity recognizes. ***See Exhibit 1 attached hereto.***
 21. Please identify any best practices your entity uses to encourage qualified MBEs, WBEs, VBEs, DBEs or SBEs to submit bids or proposals. ***See Exhibit 1 attached hereto.***



STATE OF ILLINOIS
ILLINOIS COMMERCE COMMISSION

ATTACHMENT 1

Supplier Diversity Report

ENGIE Resources LLC's 2017 Small Business Administration Plan

ENGIE RESOURCES LLC SMALL BUSINESS SUBCONTRACTING PLAN - COMMERCIAL PLAN – FY2018

Company Name: ENGIE RESOURCES LLC ("ENGIE")
a division of ENGIE North America Inc. ("ENA")
Address/Phone/Fax: 1990 Post Oak Blvd., Suite 1990, Houston, TX 77056; Tel: (713) 636-0000; Fax: (713) 636-1601
DUNS #/FEIN: 099668332 / 76-0685946
Effective Date: January 1, 2018 – December 31, 2018
Item/Service: Full Requirements Electric Energy Service – NAICS Code 221122

1. **TYPE OF PLAN:** COMMERCIAL PLAN - This type of plan is used when a federal prime contractor sells large quantities of off-the-shelf commodities to Government agencies. Plans and goals are negotiated with the initial agency on a company-wide basis rather than for individual contracts. This commercial plan covers the federal government's fiscal year and applies to the entire estimated dollar value of planned subcontracting for ENGIE. It applies to all subcontracting dollars spent (exclusive of costs of sale) for both commercial and government business in the division of ENGIE only and does not include the parent company ENA.

2. GOALS:

| | |
|--|-------------------|
| A. Estimated Dollar Value of Planned Total Subcontracting | Percentage |
| \$8,000,000 | 100% |
| B. Estimated Dollar Value of Planned Subcontracting to Large Businesses [B/A] | Percentage |
| \$7,680,000 | 96% |
| C. Estimated Dollar Value of Planned Subcontracting to Small Businesses [C/A] | Percentage |
| \$320,000 | 4% |
| D. Estimated Dollar Value of Planned Subcontracting to Small Disadvantaged Businesses [D/A] | Percentage |
| \$8,000 | 0.06% |
| E. Estimated Dollar Value of Planned Subcontracting to Women-Owned Businesses [E/A] | Percentage |
| \$104,000 | 1.25% |
| F. Estimated Dollar Value of Planned Subcontracting to Veteran-Owned Businesses [F/A] | Percentage |
| \$8,000 | 0.05% |
| G. Estimated Dollar Value of Planned Subcontracting to Service-Disabled V/O Businesses [G/A] | Percentage |
| \$4,000 | 0.04% |
| H. Estimated Dollar Value of Planned Subcontracting to SBA Certified HUBZone Businesses [H/A] | Percentage |
| \$80,000 | 0.60% |

- A. Products and/or services to be subcontracted and the types of businesses supplying them, are:

| BUSINESS CATEGORY | | | | | | | |
|---|-------|-------|-----|-----|----|----|------|
| PRODUCT / SERVICE | LARGE | SMALL | SDB | HUB | WO | VO | VOSD |
| Business & Professional Services & Supplies | X | X | X | X | X | X | X |

- B. ENGIE continues to remain under a strict corporate effort to control costs. In addition, ENGIE's biggest subcontracting procurement activity is in the wholesale electricity markets, in which there are not many vendors who are covered by the scope of this program. However, ENGIE, will continue to make good faith efforts for FY2018 to solicit small businesses in all categories for subcontracting opportunities by utilizing the following:
 - i) government online databases:
 - a. SAM – System for Award Management Registration;
 - b. DSBS – Dynamic Small Business Search;
 - ii) outreach initiatives:
 - a. Houston Minority Supplier Development Council;
 - b. Houston Prime Contractors Event Matchmaking;
 - c. Houston Small Business Expo; and

iii) customer referrals.

C. The following methods were used to develop the subcontracting goals:

- a. These numbers were established based on historical data and experience. As stated above, ENGIE's most significant procurement activity is in the wholesale electricity markets. There are barriers to entry, such as credit thresholds, that make it difficult for many small businesses to purchase and sell large quantities of power in the wholesale market. Accordingly, ENGIE's opportunity to procure goods and services from small businesses is generally limited to business and professional services and supplies, which does not account for a large percentage of ENGIE's overall budget.

D. Overhead costs **HAVE NOT** been included in the dollar and percentage subcontracting goals stated above.

E. Indirect costs have been included in the dollar and percentage subcontracting goals stated above by using the following calculation:

| | |
|---|--------------------|
| Total Vendor Spend (Small + Large Businesses Subcontracting) from Oct-Sept | \$13,765,198.82 |
| Small Business Spend from Oct-Sept | \$1,250,533.74 |
| Total Revenue from Government Billed from Oct-Sept | \$33,238,051.00 |
| Total Revenue Billed for all customers during Oct-Sept | \$2,173,281,242.00 |
| Total kwh billed Government (DLA) | 494,094,133 |
| Total kwh Billed for all customers during Oct-Sept | 34,781,320,000 |
| Total Subcontracting Dollar per kwh | \$0.00040 |
| Total Subcontracting Dollar for Government per kwh | \$195,544.73 |
| Total % of Government spend per % Revenue Billed | 1.5% |
| Total Subcontracting Attributable using % of Government spend of Revenue Billed | \$210,524.24 |
| The % attributable to DLA using Subcontracting per kwh | 1.42% |

3. **PROGRAM ADMINISTRATOR:**

Name: Ray Cunningham
Title/Position: Vice President & Assistant General Counsel
Address: 1990 Post Oak Blvd, Suite 1990, Houston, TX 77056
Telephone: (713) 636-1980
Email: ray.cunningham@gdfsuezna.com
Duties: Mr. Cunningham will be the Program Administrator with overall responsibility for ENGIE's Small Business Commercial Subcontracting Plan. These duties include, but are not limited to the following activities:
a. Develop ENGIE policy statements and/or plans and goals that demonstrate the ENGIE's support for subcontracting with small businesses;
b. Ensure compliance with Federal law and regulations related to small business initiatives;
c. Develop and maintain vendor lists of small businesses;
d. Timely submit annual commercial plans to all applicable federal government contracting officers;
e. Prepare and submit, in accordance with required dates, the annual reports on the eSRS system;
f. Develop and maintain an internal source list of small business concerns and solicitation information regarding ENGIE's Small Business Commercial Subcontracting Plan;
g. Coordinate ENGIE activities and requirements during compliance reviews by Federal agencies;
h. Provide assistance to ENGIE personnel who have procurement authority and source selection responsibilities on the requirements of the ENGIE Small Business Commercial Subcontracting Plan and Federal Laws regarding the Government's initiatives;
i. Report to the CEO the progress of the ENGIE Small Business Commercial Subcontracting Plan;
j. Participate in outreach programs and initiatives in furtherance of ENGIE's small business subcontracting goals; and
k. Represent ENGIE to the Small Business Administration and other Federal Agencies on matters relating to small business subcontracting issues.

4. **EQUITABLE OPPORTUNITY**

ENGIE will use the following efforts, in compliance with FAR 52.219-9(d)(8), to ensure that small businesses will have an equitable opportunity to compete for subcontracts:

- A. **Outreach efforts to obtain sources:** ENGIE will identify sources from the SBA DSBS. ENGIE periodically reviews the small business contractor lists posted by local, state and federal agencies. ENGIE will utilize available search-engines to search for small businesses utilizing the sites as marketing tool to procure subcontract opportunities. ENGIE intends to identify small business trade associations and register for notifications regarding small businesses

conferences and trade fairs. ENGIE will implement and undertake outreach initiatives and participate in outreach programs and tradeshows, etc. in order to reach out to small businesses and development contacts with small businesses in order to track information regarding small business services, capabilities, qualifications, and subcontracting opportunities. For example, participation in SBA events, tradeshows, small business conferences, small business expositions, business matchmaking, and SBA small business week.

- B. Internal efforts to guide and encourage purchasing personnel: ENGIE will establish, maintain and use small business source lists, guides and other data for soliciting subcontracts. ENGIE's Program Administrator will monitor activities to evaluate compliance with the plan.
- C. Additional efforts: ENGIE will again review its existing list of subcontractors to identify unclassified vendors that may qualify for classification or certification as small businesses. Where reasonable, ENGIE will notify unclassified vendors of the self-certification process and work with those vendors to provide increased subcontracting opportunities.

5. **CLAUSE INCLUSION**

ENGIE agrees that the clause identified under Utilization of Small Business clause under FAR 52.219-8 will be included in subcontracts that offer subcontracting opportunities to small business concerns. ENGIE will require all subcontractors (except small business concerns) that receive subcontracts in excess of \$700,000 (\$1.5 million for construction) to adopt a plan that complies with the requirements of the clause at 52.219-9, Small Business Subcontracting Plan (see 19.708(b)).

6. **REPORTING AND COOPERATION**

ENGIE gives assurance of: (1) cooperation in any studies or surveys that may be required; (2) submission of periodic reports which show compliance with the subcontracting plan; (3) Summary Subcontract Report (formerly Standard Form 295) via the Electronic Subcontracting Reporting System at www.esrs.gov. ENGIE will ensure that its subcontractors with subcontracting plans agree to submit the ISR and/or the SSR using the eSRS. ENGIE will provide its prime contract number, its DUNS number, and the e-mail address of the offeror's official responsible for acknowledging receipt of or rejecting the ISRs to all first-tier subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting their ISRs. ENGIE will require that each subcontractor with a subcontracting plan provide the prime contract number, its own DUNS number, and the e-mail address of the subcontractor's official responsible for acknowledging receipt of or rejecting the ISRs, to its subcontractors with subcontracting plans.

7. **RECORDKEEPING**

ENGIE will maintain records to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan. These records include, but are not limited to, the following:

- A. Small business concern source lists, guides, and other data identifying such vendors.
- B. Organizations contacted for small business sources.
- C. On a contract-by-contract basis, records on all subcontract solicitations over \$150,000 which indicate for each solicitation whether small businesses, Small Disadvantaged Business (SDB), Women-Owned Small Business (WOSB), HUBZone Small Business (HUBZone SB), Veteran-Owned Small Business (VOSB), Service-Disabled Veteran-Owned Small Business (SDVOB), were solicited and reasons for the failure of solicited small businesses to receive the subcontract award.
- D. Records to support outreach efforts, e.g., contacts with small business trade associations and attendance at small business procurement conference or trade fairs.
- E. Records to support internal activities to inform, guide and encourage purchasing personnel and to monitor activities to evaluate compliance.

8. **TIMELY PAYMENTS TO SUBCONTRACTORS**

ENGIE has established and uses procedures to comply with FAR 19-702 to ensure timely payment of amounts due, pursuant to the terms and conditions of its subcontracts with small businesses.

9. **DESCRIPTION OF GOOD FAITH EFFORT**

ENGIE will make a good faith effort to comply with this Small Business Commercial Subcontracting Plan. ENGIE will seek to identify subcontracting opportunities through the steps identified in this Plan. ENGIE will attempt to identify the capabilities of other small business through the search engines and solicitation. ENGIE will also encourage and inform its purchasing staff of the internal goals and plan procedures, small businesses search and certification methods, and provide periodic updates on plan progress to encourage participation and monitor compliance with the Plan.

10. **SIGNATURE REQUIRED**

This Subcontracting Plan was approved By:

ENGIE Resources LLC

Name: Sayun Sukduang

Title: CHIEF EXECUTIVE OFFICER

Signature: _____

Date: _____

DESC Requested - AGREEMENT AND APPROVAL SIGNATURES

A. Offeror's Agreement

[SEE SECTION 10 of PAGE 5]

Offeror's Signature

Typed Name and Title

Date

B. Reviewed By:

Contract Specialist's Signature

Typed Name and Title

Date

C. Contracting Officers determination of acceptance

Contracting Officer's Signature

Typed Name and Title

Date

D. Division Chief's Approval

Is SDB goal less than 5% ☐ Yes ☐ No

If yes, a Division Chief's signature, one level above Contracting Officer is required:

Division Chief's Signature

Typed Name and Title

Date

E. Small Business Office ☐ Concur ☐ Non-concur

Small Business Specialist Signature

Typed Name and Title

Date

Small Business Specialist Rationale:

F. Contracting Officer's Approval:

Contracting Officer's Signature

Typed Name and Title

Date